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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

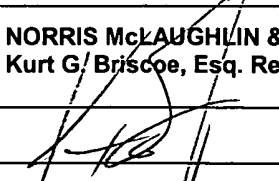
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<b>TRANSMITTAL FORM</b> (To be used for all correspondence after initial filing)		Application Number	09/913,631
		Filing Date	August 16, 2001
		First Named Inventor	Charlotte HAUSER-FUNKE
		Group Art Unit	To Be Assigned
		Examiner Name	To Be Assigned
Total Number of Pages in This Submission		Attorney Docket Number	100725-6 / Kreisler 1086-KGB

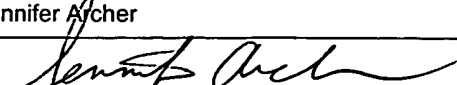
**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input checked="" type="checkbox"/> Petition to withdraw holding of abandonment  <input type="checkbox"/> Petition to convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) -(please identify below): 1)- Transmittal Form 2) the Communication Re: Filing of Declaration; 3) Response to Communication Regarding the Sequence Listing; 4) Copy of the Combination Declaration and Power of Attorney; 5) Copy of the Notification of Missing Requirements; and 6) Return Receipt Postcard acknowledging receipt
Remarks:		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	NORRIS McLAUGHLIN & MARCUS, P.A. Kurt G. Briscoe, Esq. Reg. No. 33,141
Signature	
Date	January 16, 2003

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail in an envelope addressed to: Commissioner of Patents, Washington, D.C. 20231 on this date: <u>January 16, 2003</u>			
Typed or printed name	Jennifer Archer		
Signature		Date	January 16, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents, Washington, DC 20231.



Kreisler 10813B  
011896us/JH/ml

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : CHARLOTTE HAUSER-FUNKE  
SERIAL NO. : 09/913,631  
FILED : August 16, 2001  
FOR : HORMONE-HORMONE RECEPTOR COMPLEXES AND  
NUCLEIC ACID CONSTRUCTS AND THEIR USE IN GENE  
THERAPY  
ART UNIT : TO BE ASSIGNED  
EXAMINER : TO BE ASSIGNED

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December 14, 2001

Hon. Commissioner of Patents  
Washington, D.C. 20231

**RESPONSE TO COMMUNICATION REGARDING  
THE SEQUENCE LISTING**

SIR:

A Notification of Missing Requirements Under 35 USC 371 for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures, a copy of which is attached, was mailed to Applicants on October 16, 2001. The Notification indicated that the original computer readable form (CRF) was defective, and that a substitute CRF was required. The error that was indicated was that the CRF omitted <220> and <223> in some mandatory positions.

There is now attached a substitute CRF, which Applicants believe is error-free. The undersigned hereby certifies that the content of the original paper Sequence Listing and the

substitute computer readable form copy is the same and includes no new matter.

Early and favorable action is earnestly solicited.

Respectfully submitted,

NORRIS McLAUGHLIN & MARCUS, P.A.

By 

Kurt G. Briscoe  
Reg. No. 33,141

220 East 42<sup>nd</sup> Street  
30<sup>th</sup> Floor  
New York, New York 10017  
Phone: (212) 808-0700  
Fax: (212) 808-0700

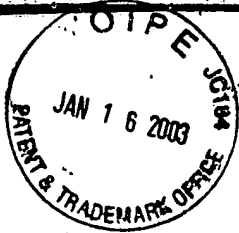
CERTIFICATE OF MAILING

I hereby certify that the foregoing Response to Communication Regarding the Sequence Listing and the attached Computer Diskette are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Hon. Commissioner of Patents, Washington, D.C. 20231, on the date indicated below:

Date: December 14, 2001

By 

Kurt G. Briscoe



Name of Applicant: Charlotte HAUSER-FUNKE  
Title of Invention: Hormone-hormone Receptor Complexes —  
and Nucleic Acid Constructs and their use —  
in Gene Therapy —  
Operating System: MS Word —  
Attorney Docket No.: Kreisler 1086-KGB —  
US Serial No.: 09/913,631  
Filing Date: August 16, 2001

**CAUTION**

Do not bend or fold  
Avoid exposure to all magnetic fields

*U. Kreiser 1036-K613*  
CASE # Kreiser 1000  
DATE MAILED: Dec. 16, 2001  
SERIAL NO.: 09/913,631  
DATE DUE: Dec. 16, 2001

The stamp of the Patent Office hereon may be taken as acknowledgment of receipt, on the date stamped, of the following:

1. Transmittal
2. Fee Transmittal
3. Communication Re: Filing of Declaration
  - a. Copy of Notification of Missing Requirements
  - b. Combination Declaration & Power of Attorney
4. Statement Regarding Sequence Listing
  - a. Diskette Containing Sequence List

JC10 Rec'd PCT/PTO 08 JAN 2002



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GAU 1645

S/N 09/ 913,631

Date: 01-21-03

To: Group Directors/HSAEs

From: Office of Initial Patent Examination

Subject: Miscellaneous Papers

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The attached papers belong in files that are housed at the warehouse. **PLEASE do not send any papers to the warehouse or to our office for processing**, but request the files from the warehouse and take the appropriate action.

Thank You,

J.H.  
OIPE

**CASE # Kreisler 1086-KGB**  
**DATE MAILED: August 16, 2001**

**SERIAL NO.: To Be Assigned**  
**DATE DUE:**

The stamp of the Patent Office hereon may be taken as acknowledgment of receipt, on the date stamped, of the following: **VIA EXPRESS MAIL**  
**LABEL NO. EL 867733486 US**

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371
2. Copy of the International Application as filed consisting of:
  - a. Specification (Pages 1-26); b. Examples (Pages 26-46); c) 38 Claims (Pages 47-52); d) Drawings (Fig. 1 - Fig. 22); e) Sequence Listing
3. Copy of the International Search Report
4. Copy of the International Preliminary Examination Report
  - a. Amended Claims - 49 Claims (7 Pages)
5. Preliminary Amendment
6. Diskette containing Sequence Listing in Word Format
7. Statement Regarding The Sequence Listing
8. Express Mail Certificate

*JS*  
**09/913631**

**412 Rec'd PCT/PTO 16 AUG 2001**

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